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ATTORNEY DOCKET NO.: 16293/09001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of)
STUART E. MASSEY) Examiner:
) Joo, Joshua
Serial No. 09/940,179)
)
Filed: August 27, 2001) Art Unit: 2154
)
Title: TRANSACTION-BASED ENTERPRISE)
APPLICATION INTEGRATION (EAI))
AND DEVELOPMENT SYSTEM)

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

Pursuant to 37 C.F.R. 1.56, 1.97, and 1.98, Applicant is submitting the art shown on the attached list for consideration by the Examiner.

I. Timing of the Submission (check one)

This Information Disclosure Statement is being submitted:

- ☐ Within three months of filing the application (Rule 97(b)(1)).
- ☐ Within three months of the international application entering the national stage (Rule 97(b)(2)).
- ☐ Before mailing of a first Office Action (Rule 97(b)(3)).
- ☒ Before mailing of a final action or notice of allowance, and accompanied by a fee (Rule 97(c)(2)).
- ☐ Before mailing of a final action or notice of allowance, and accompanied by a Rule 97(e) statement (Rule 97(c)(1)).

- ☐ After issuance of a Notice of Allowance but before payment of the issue fee, and accompanied by: (1) a Rule 97(e) statement, (2) a petition requesting consideration of the information disclosure statement, and (3) a fee (Rule 97(d)).

II. Rule 97(e) Statement *(check one if required by item checked above)*

- ☐ Each item contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement.
- ☐ No item contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application nor was any such item known by any individual associated with the filing or prosecution of the patent application more than three months prior to the filing of the Information Disclosure Statement.

III. Copies of the References *(check one or both as applicable)*

- ☒ Copies of all *(insert "all" or number of enclosed references)* listed references are enclosed.
- ☐ Copies of *(insert "all" or number of references not enclosed)* listed references are not enclosed because they are not required pursuant to Rule 98(d). The listed references were previously cited by or submitted to the Office in application serial number , filed , which is relied upon for an earlier filing date.

IV. Rule 98(a)(3) Statement for Non-English language references
(if required)

Pursuant to Rule 98(a)(3), the following is a concise explanation of the relevance of each patent, publication, or other information listed that is not in the English language:

V. Mailing Certificate (check one)

☐

First Class Mail Certificate

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Date of Deposit - December 8, 2006

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Martha Boynton

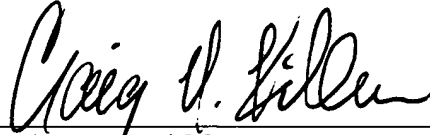
(Typed/printed name of person mailing paper or fee)

Martha Boynton

(Signature of person mailing paper or fee)

Please charge any fees required for consideration of the
art cited herein to our deposit account no. 50-1196.

Respectfully submitted,

A handwritten signature in cursive script, reading "Craig N. Killen". The signature is written in dark ink and is positioned above a horizontal line.

Craig N. Killen

Reg. No. 35,218

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PATENT

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)	Joo, Joshua
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Title: TRANSACTION-BASED ENTERPRISE)	
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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

In addition to the art cited by the Information Disclosure Statement filed herewith, Applicant wishes to submit the information disclosed herein.

During the period in which the present invention was being developed, applications were created using prototype portions of the code that eventually resulted in the present invention. These early portions of prototype code were tested and refined in the early installations. These installations were closely monitored by applicant's assignee and resulted in further modifications to the prototype code ultimately resulting in the total solution described and claimed in the present application. These installations (and the identity of the respective customers) were:

(1) EMS

Contract initiated May 20, 1992. As the initial installation, the present assignee performed initial development, which included the core OLTP engine, and the async, TCP/IP, and X.25 interfaces, developed for the HP-UX operating system (HP).

(2) Americal

Contract initiated June 16, 1993. The system was extended by the present assignee, including development of user interface and the Intermecc interface, and ported to MP/RAS operating system (NCR). Initially developing the system to be used on more than one hardware platform, and for two very diverse applications, helped to ensure generalized applicability.

(3) Georgia Pacific

Contract initiated March 28, 1994. In this installation, the present assignee developed several additional interfaces, including PI, Accuray, SNA and Allen Bradley interfaces, ported to the FTX operating system (Stratus Computers) and experimentally extended the product to include new features, including "Items," Timers and Host Reports.

(4) Tower Mills

Contract initiated January 23, 1995. In this installation, the present assignee generalized the development environment with added features, including analysis tools and reporting tool enhancements, and implemented performance enhancements. This application involved a medium-sized operation, implemented on a very small (low-power) server, so performance became critical.

(5) Precision Valve

Contract initiated March 14, 1995. In this installation, the present assignee ported to the SCO operating system, and implemented reliability enhancements, which proved necessary as they did not have any computer technician on-site. SCO is an operating system which runs on standard PC hardware, and this project involved extending/verifying the system for applicability to cheap "lights-out" operations.

(6) Coty Cosmetics

Contract initiated March 22, 1996. In this installation, the present assignee ported to the AIX operating system (IBM), further generalized the development environment to support tracking of application changes, implemented enhancements to the user interface by increasing the range of available screen layouts, and further improved performance. The present assignee verified the applicability of the system to environments with

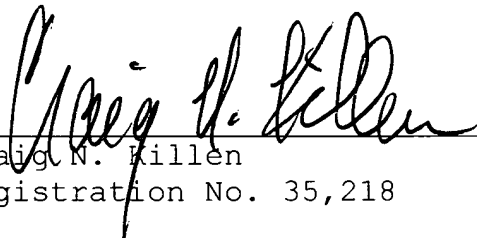
larger numbers of users (250) and validated the general applicability of the system by implementing from a detail design provided by an outside source (the customer, in this case).

Each of the above projects led to increased generalization of the system and numerous enhancements as a variety of applications were implemented. It was necessary to test portions of a broadly applicable invention such as this on a variety of diverse applications to determine and improve its contribution to developer productivity, as well as its reliability and performance.

The Examiner is invited to contact the undersigned should any questions arise regarding the foregoing, or if further information is required.

Respectfully submitted,


NELSON MULLINS RILEY & SCARBOROUGH

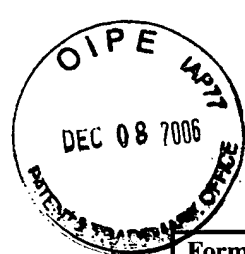

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Martha Boynton
(Typed/printed name of person mailing paper or fee)

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Form PTO-1449										Docket Number Optional 16293/09001		Application Number 09/940,179	
INFORMATION DISCLOSURE CITATION IN AN APPLICATION (Use several sheets if necessary)										Applicant Stuart E. Massey			
										Filing Date August 27, 2001			
U.S. PATENT DOCUMENTS													
EXAMINER INITIAL		DOCUMENT NUMBER						DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
		6	0	3	9	2	4	5	03/21/2000	Symonds et al.			
		5	9	2	4	0	9	7	07/13/1999	Hill et al.			
		5	9	1	6	3	0	7	06/29/1999	Piskiel et al.			
		5	9	1	3	0	6	1	06/15/1999	Gupta et al.			
		5	7	5	4	7	7	2	05/19/1998	Leaf			
		5	7	2	1	9	0	9	02/24/1998	Oulid-Aissa et al.			
		5	5	6	1	7	9	7	10/01/1996	Gilles et al.			
FOREIGN PATENT DOCUMENTS													
		DOCUMENT NUMBER						DATE	COUNTRY	CLASS	SUBCLASSES	Translation YES NO	
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)													
		PCT International Search Report dated October 5, 2001, from then-copending PCT application.											
		Article entitled "Make the Connection," www.manufacturingsystems.com/supplychain , March 2000, pgs. 76-86.											
EXAMINER								DATE CONSIDERED					
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.													